

Alabama Public Library Service



Functional Analysis & Records Disposition Authority

**Presented to the
State Records Commission
July 26, 2001**

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Functional and Organizational Analysis of the Alabama Public Library Service

Sources of Information

- Agency Records Disposition Authority Committee:
 - Fred Neighbors, Assistant Director (chair)
 - Jim Dismukes, Business Manager
 - Janet Hamilton, Head, Technical Services
 - Gloria Norman, Head, Acquisitions and Serials
 - Mary Payne, Head, Automated Services
 - Judy Shepard, Head, Information Services
 - Alice G. Stephens, Head, Networking, Planning and Development
 - Fara Zaleski, Head, Regional Library for the Blind and Physically Handicapped
- Code of Alabama 1975 § 41-8-1 through § 41-8-25
- Code of Alabama 1975 § 41-20-1 through § 41-20-16 (Sunset Law)
- Code of Alabama 1975 § 41-22-1 through § 41-22-27 (Administrative Procedures Act)
- Alabama Administrative Code Chapters 520-1-1 through 520-6-1
- Alabama Government Manual (1998)
- Audit Report of the Alabama Public Library Service (1996-1999)
- Alabama Public Library Service, *50 Years of Serving: Alabama Public Library Service, 1939-1989*
- Records Disposition Authority for Alabama Public Libraries (2001)

Historical Context

The history of the Alabama Public Library Service began with the founding of the Alabama Federation of Women's Clubs in 1897. The federation actively developed libraries around the state. By 1900, twelve traveling libraries were in operation in Alabama. In 1904, the Alabama Library Association was formed to oversee the traveling libraries. A number of counties and towns started to establish local or regional libraries in the twenties. By the 1930s, there was clearly a need for a state agency to oversee library operations in Alabama. The result was the creation in 1939 of the Public Library Service Division of the Alabama Department of Archives and History (ADAH). Legislative Act 600 of 1959 separated the Public Library Service Division from ADAH and established the Alabama Public Library Service as an independent agency.

Agency Organization

The Alabama Public Library Service (hereafter referred to as APLS) is governed by an executive board. The board consists of seven members appointed by the governor to represent the seven congressional districts of the state. Board members must be qualified electors of the state who have resided in the state for five years. Members serve five-year staggered terms. The board elects from its membership a chairman and vice-chairman. A director is appointed by the board as the administrative head of the agency. Other agency staff members are hired by the board, on

the nomination of the director, through the state merit system. An organizational chart is attached.

Agency Function and Subfunctions

The mandated function of the Alabama Public Library Service is to develop “a cooperative system of providing books and library services for the various municipalities and counties of the state” (Code of Alabama 1975 § 41-8-1). The agency is one of the agencies primarily involved in carrying out the Client Services function of Alabama government.

In the performance of its mandated function, the Alabama Public Library Service may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The executive board of the Alabama Public Library Service is authorized to make and adopt rules and regulations in accordance with the Administrative Procedures Act. This subfunction encompasses the executive board’s efforts in making, altering, repealing, or amending rules and regulations that are implemented to accomplish the agency’s duties and functions vested by law.
- **Acquiring and Cataloging.** Staff members of the Alabama Public Library Service acquire, catalog, and process materials for APLS collections. Staff members catalog materials using the Online Computer Library Center (OCLC) and maintain the bibliographic database on the SIRSI Library Management System.
- **Providing Reference Services.** One of the major mandates for APLS is to provide research and resource sharing to the public through local public libraries and to state government employees for their job-related needs. The agency’s reference staff members answer specific questions; provide books, periodical articles, federal/state publications, audio/video materials; and make referrals to other agencies as needed.
- **Coordinating Activities for the Alabama Virtual Library (AVL).** Beginning in 2000, APLS started, in cooperation with the Alabama Department of Education, Alabama Commission on Higher Education, Alabama Department of Postsecondary Education, and Alabama Supercomputer Authority, to implement and provide free online databases (known as the Alabama Virtual Library) through the Internet to public school systems, colleges, and public libraries. APLS staff members function as the fiscal agent for the AVL.
- **Operating Library Services for the Blind and Physically Handicapped.** The administration of the Alabama Regional Library for the Blind and Physically Handicapped was transferred from the Special Technical Facility at Talladega to APLS in 1977. This specialized area of library services utilizes, through a cooperative network with the Library of Congress/National Library Service for the Blind and Physically Handicapped, custom-designed facilities, trained staff, and unique equipment to meet the

reading needs of blind, visually impaired, and physically handicapped citizens. In addition, APLS staff members assist and coordinate activities of all sub-regional facilities serving blind and physically handicapped within the state.

- **Advising and Assisting.** As provided in the Code of Alabama 1975 § 41-8-5, the Alabama Public Library Service is obligated to advise and assist all public, regional, municipal, and county libraries in the establishment and management of public library service. Staff members provide cataloging assistance to libraries, conduct training workshops, and provide technical support to libraries.
- **Administering Grants.** Under the Code of Alabama 1975 § 41-8-1 *et seq.*, the Alabama Public Library Service is empowered to receive and “administer all funds, books, and other property from whatever source, under such conditions as may be deemed necessary to carry out the purpose of this article.” Over the years, the agency has been designated as the state agency to administer a number of federal grant programs established to aid local library services. Under the Library Services and Construction Act (LSCA) of 1964, federal funds were distributed to Alabama libraries: to extend services to disadvantaged people (such as the elderly, institutionalized, physically handicapped, and illiterate); to construct or renovate library buildings; and to develop and strengthen interlibrary cooperation. In 1996, LSCA was restructured and incorporated into the Library Services and Technology Act (LSTA). Grant project categories were expanded to include small library development, cooperative library network planning, digital high-speed transmission, library technology, children-at-risk programs, programs to improve services to those with disabilities, collections for targeted information services, professional training programs, continuing education, and technical assistance consulting. All federal grant funds are awarded to qualified public libraries, library systems, and certain state agencies. Some grants may require local matching funds. In addition, APLS is charged with responsibilities to oversee the distribution of state aid funds to public libraries across the state. Agency staff members routinely conduct grant writing workshops, process and evaluate applications, make awards to libraries, hold grant training sessions, distribute grant funds to recipients, and coordinate the submission of final reports to the federal government.
- **Administering Internal Operations.** A significant portion of the agency’s work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

Managing the Agency: Activities involved in managing the agency may include internal office management activities such as corresponding and communicating; scheduling; meeting; creating policy and procedures; reporting; litigating; legislating (drafting, promoting, tracking); publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package to the Department of Finance, documenting amendments and

performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Alabama Public Library Service

Agency Record Keeping System

The Alabama Public Library Service currently operates a hybrid record keeping system composed of paper and electronic records.

Paper-based Systems: Staff members create and maintain most of the agency's records in paper form.

Computer Systems: APLS has a local area network allowing access to all software and printers by staff members. The agency utilizes the SIRSI Unicom System to support work related to acquisitions, cataloging, circulation, serials management, and interlibrary loan. The Dymaxion Medianet System is used in supporting all circulation activities with regard to video collections. The Keystone Library Automated System (KLAS) supports the staff of the Library Service for the Blind and Physically Handicapped with circulation, cataloging, and playback equipment check-in/ check-out activities for its blind and physically handicapped patrons. A tape backup is performed nightly on all computer systems. These tapes are reused weekly. Once a year, a tape backup is performed on data for the entire year. These tapes are kept for reference. The agency maintains a web site at www.apls.state.al.us.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Public Library Service: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met. Some of the temporary records created by the agency are discussed below:

- **Net-Lending Reimbursement Program Reports.** Under the Net-Lending Reimbursement Program, academic or public libraries across the state are entitled to federal reimbursement if they lend more items than they borrow during the year. This series consists of quarterly net-loan reports submitted by participating libraries to establish eligibility for payment. APLS staff members verify the reports so that reimbursement can be made. Reports should be kept for three years for audit by the Examiners of Public Accounts.
- **Patron Registrations for Library Service for the Blind and Physically Handicapped.** This series consists of application forms issued by the National Library Service for the Blind and Physically Handicapped for use by individual patrons or institutions in applying for free library service. In accordance with federal guidelines, individual patrons or institutions are considered active in the program if they borrow at least one book from the library each year. If a patron does not meet the requirement, APLS/BPH staff will

make three contacts before the patron is considered as inactive. The original application forms along with other supporting documents must be kept for five years after they become inactive. In the case of a deceased patron, the files need to be retained for one year after the date of death.

- **State Aid to Public Libraries Basic Documentation Files.** In accordance with the Code of Alabama 1975 § 11-90-1 to § 11-90-4, all public libraries in Alabama must prepare and file required creation documents with APLS. This series may include, but is not limited to, the ordinance/resolution establishing the public library, written bylaws, operational policies and procedures, and a five-year long-range service plan. The records are scheduled as permanent records under the RDA approved by the Local Government Records Commission for Alabama Public Libraries. APLS maintains the duplicates for reference until the files are superseded.
- **Library Building Construction and Renovation Files.** Federal grants were awarded by APLS under Title II of the now expired Library Services and Construction Act to assist local communities in the design, construction, and renovation of public library buildings and facilities. A typical file may consist of the following documents: application and supporting materials, contracts and agreements, forms for authorization of payments, correspondence, title to site, proof of title insurance, subsurface soil analysis, and a copy of tabulation of bids. The files must be kept at least 20 years because the federal government has the right to recover the value of the grant if, within 20 years after the completion date, the grant-funded building ceases to be used as a library (20 CFR 355b).

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Promulgating Rules and Regulations

- **Meeting Minutes of the APLS Executive Board.** This series consists of meeting minutes and meeting packet materials prepared for review by the executive board members prior to the meetings. These minutes document the policy and rule making process. These records are part of the core administrative documentation of the agency. **(Bibliographic Title: Meeting Minutes of the APLS Executive Board)**
- **Policies and Procedures.** These records include rules, regulations, policies, and procedures established by the agency on a variety of subjects concerning its collection development, library service and circulation, grant administration, and other program related operations. They provide essential documentation of the agency's policy development and implementation. **(Bibliographic Title: Policies and Procedures)**

Acquiring and Cataloging

Permanent records providing summary documentation of this subfunction are found in the Annual Reports as described in Administering Internal Operations.

Providing Reference Services

Permanent records providing summary documentation of this subfunction are found in the Annual Reports as described in Administering Internal Operations.

Coordinating Activities for the Alabama Virtual Library (AVL)

Permanent records providing summary documentation of this subfunction are found in the Annual Reports as described in Administering Internal Operations.

Operating Library Services for the Blind and Physically Handicapped

- **Consumer Advisory Committee Files.** The committee was established to give advice and make recommendations to APLS and the National Library Service for the Blind and Physically Handicapped of the Library of Congress on practices, policies, and goals of library services to blind and physically handicapped individuals. The committee consists of 15 members selected from organizations and individuals having direct interest in library services to the blind and physically handicapped. Members serve one-year term and are eligible for reelection. Regular meetings of the committee are held in January, May, and September. These files consist of meeting packets, minutes, and other related materials. **(Bibliographic Title: Meeting Files of the Consumer Advisory Committee)**

Advising and Assisting

- **Summer Reading Program Files.** The APLS Summer Reading Program is designed to help local libraries in planning and implementing their own summer reading programs for children. The series is composed of annual summer reading program manuals which contain information on a major theme for that year; program planning; involvement of children with special needs; use of volunteers; promotion of the program, working with schools, parents, and media; rewards and prizes; library decorations and displays; entertainment ideas; and clip art. Also included are sample posters, reading logs, bookmarks, stickers, and certificates for participation. **(Bibliographic Title: Program Administrative Files of the Summer Reading Program)**

Administering Grants

- **Library Services and Technology Act (LSTA) Five-Year Plans.** Congress passed in 1996 the Library Services and Technology Act (LSTA) to assist all states in enhancing library services. Under the guidelines of the legislation, each state is required to prepare and submit a five-year state plan to the Institute of Museum and Library Services (IMLS), which is authorized to administer LSTA. APLS staff members worked with libraries across the state and other related entities, such as the Alabama Library Association, and conducted town meetings to solicit input in the development of a five-year plan for the state in 1997. The five-year plan lists goals, objectives, procedures, and activities designed to enhance the state's library service. To reflect new program priorities and needs, the plan is subject to annual regular review and necessary revision.

This series should be preserved as a base for comparison with subsequent plans and for measurement of improvements in library service over a long period of time.

(Bibliographic Title: Program Administrative Files of the Library Services and Technology Act Program in Alabama)

- **Federal Grant Project Final Reports.** These files are the final narrative reports of federal grants, such as a grant received under the Library Services and Technology Act (LSTA), administered by APLS. The reports summarize the goals and objectives of the grant project, the expenditure of grants funds, and what has been accomplished.
(Bibliographic Title: Final Reports of Federal Grant Projects)
- **Library Services and Technology Act (LSTA) Advisory Council Files.** The Library Services and Technology Act Advisory Council (hereafter referred to as the council) is responsible for advising APLS on the development of the state's five-year plan for grants under LSTA; on policy matters arising in the administration of the LSTA grant program; and on the evaluation of library programs, services and activities under the state plan. Membership of the council includes seventeen persons who are broadly representative of different types of libraries located in the state. The APLS executive board appoints all of the council members for staggered terms of three years. Members are eligible for one consecutive reappointment. The council holds quarterly meetings and special meetings called by the chairperson. This series consists mainly of meeting packets and minutes.
(Bibliographic Title: Meeting Files of the Alabama Advisory Council of the Library Services and Technology Act)

Administering Internal Operations

- **Administrative Files of the Director.** These official files document the substantive actions of the APLS director. This series may include various types of records such as correspondence, memoranda, and reports regarding agency policies, program development, as well as important budgetary or personnel concerns. **(Bibliographic Title: Administrative Files)**
- **Annual Reports.** The agency publishes an annual report to highlight its various projects and program activities for the previous year. Contents of the report may include project goals and objectives, major project development, and statistical data on financial operation. The annual reports provide the best summary documentation of the agency's mission and activities. **(Bibliographic Title: Annual Reports)**
- **Informational and Promotional Publications.** These publications document the agency's efforts in communicating with the public regarding its programs and services. Publications may include brochures, newsletters, booklets, posters, bookmarks, stickers, and other materials issued in print that are distributed by the agency. The publications should be preserved as they promote and advertise various APLS programs and services. **(Bibliographic Title: Informational Publications)**

- **News Releases.** To keep the public informed and to promote various library programs, the agency prepares and releases information to the news media. Included may be copies of news releases, photographs, and typescripts of broadcast announcements. They may also contain background data relative to the subject of the news release or newspaper clippings of the release. **(Bibliographic Title: News Releases)**

- **Committee/Task Force Minutes/Reports.** In order to carry out its mandated responsibilities, APLS may from time to time create special committees or task forces to work on certain projects. The files contain meeting minutes and reports generated by those committees or task forces. They are essential for documenting the evolution of APLS policies and procedures as approved by the executive board. **(Bibliographic Title: Committee/Task Force Reports)**

- **Historical Records.** This series is mainly composed of records that can be used to trace the historical development of the agency and its program activities. Records may include photographs, videotapes, audiotapes, speeches, scrapbooks, newspaper clippings, invitations, and other related materials created in conjunction with building/statute dedication ceremonies, agency anniversary celebration activities, and other significant program events.

Accessibility of Records

Under the Alabama Administrative Code Chapter 520-1-1-.03, “the circulation and registration records maintained by the Alabama Public Library Service and public libraries in Alabama are confidential records” [that] “shall not be open for inspection or otherwise available to, any agency or individual.” Accordingly, Patron Registration Files, Circulation Files, and Requests for Reference and Interlibrary Loan Assistance shall not be open for inspection by any agency or individual.

Permanent Records List

Alabama Public Library Service

Promulgating Rules and Regulations:

1. Meeting Minutes of the APLS Executive Board
2. Policies and Procedures

Operating Library Services for Blind and Physically Handicapped

1. Consumer Advisory Committee Files

Advising and Assisting

1. Summer Reading Program Files

Administering Grants

1. Library Services and Technology Act (LSTA) Five-Year Plans
2. Federal Grant Project Final Reports
3. Library Services and Technology Act (LSTA) Advisory Council Files

Administering Internal Operations

1. Administrative Files of the Director
2. Annual Reports
3. Informational and Promotional Publications
4. News Releases
5. Committee/Task Force Minutes/Reports
6. Historical Records

Alabama Public Library Service Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with the staff of the Alabama Public Library Service. The RDA lists records created and maintained by the Alabama Public Library Service in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama Public Library Service's records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of

material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alabama Public Library Service and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

Promulgating Rules and Regulations

MEETING MINUTES OF THE EXECUTIVE BOARD

Disposition: PERMANENT RECORD.

Recordings of Meetings

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

POLICIES AND PROCEDURES

Disposition: PERMANENT RECORD.

Administrative Procedures Rule Filings

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

REGISTER OF ADMINISTRATIVE PROCEDURES RULE FILINGS

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 41-22-6).

Administrative Procedures Rule Hearing Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Acquiring and Cataloging

Cataloging Data Entry Worksheets

Disposition: Temporary Record. Retain until verification of data in cataloging database.

Databases of Independent or Regional Library Cataloging System

Disposition: Temporary Record. Retain until superseded or no longer useful.

Alabama Interlibrary Catalog (ALICAT) *(This series will no longer be created after 2001)*

Disposition: Temporary Record. Retain until superseded or no longer useful.

Alabama Union List of Serials (AULS) *(This series will no longer be created after 2001)*

Disposition: Temporary Record. Retain until superseded or no longer useful.

Shelf Lists and Finding Aids

Disposition: Temporary Record. Retain until superseded or no longer useful.

Distribution Registers of Discarded Materials

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

Providing Reference Services

Patron Registration Files

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the patron last used the library's collections.

Circulation Files

Disposition: Temporary Record. Retain for useful life.

Requests for Reference and Interlibrary Loan Assistance

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Net-Lending Reimbursement Program Reports

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Coordinating Activities for the Alabama Virtual Library (AVL)

Records documenting this subfunction, such as contracts and financial records, are listed in the Administering Internal Operations.

Operating Library Services for the Blind and Physically Handicapped

CONSUMER ADVISORY COMMITTEE FILES

Disposition: PERMANENT RECORD.

Patron Registrations for Library Service for the Blind and Physically Handicapped (inactive)

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the patron becomes inactive.

Patron Registrations for Library Service for the Blind and Physically Handicapped (deceased)

Disposition: Temporary Record. Retain 1 year after the end of the fiscal year in which the patron is deceased.

Library Service for the Blind and Physically Handicapped Collection Cataloging System Database

Disposition: Temporary Record. Retain until superseded or no longer useful.

Library Service for the Blind and Physically Handicapped Cassette Tape Playback Equipment Inventory Database

Disposition: Temporary Record. Retain until superseded or no longer useful.

Advising and Assisting

APLS Sponsored Inservice Training Workshop/Conference Files

Disposition: Temporary Record. Retain for useful life.

Training Workshop Attendance and Evaluation Records

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the term expires.

SUMMER READING PROGRAM FILES

Disposition: PERMANENT RECORD.

Administering Grants

LIBRARY SERVICES AND TECHNOLOGY ACT (LSTA) FIVE-YEAR PLANS

Disposition: PERMANENT RECORD.

FEDERAL GRANT PROJECT FINAL REPORTS

Disposition: PERMANENT RECORD.

LIBRARY SERVICES AND TECHNOLOGY ACT (LSTA) ADVISORY COUNCIL FILES

Disposition: PERMANENT RECORD.

Library Building Construction and Renovation Files

Disposition: Temporary Record. Retain 20 years after the completion of the project.

Federal Grant Project Financial Records, Interim Reports, and Supporting Documentation

Disposition: Temporary Record. Retain 6 years after the submission of final financial report.

State Aid to Public Libraries Basic Documentation Files

Disposition: Temporary Record. Retain until superseded.

State Aid Funds Financial Records, Interim Reports, and Supporting Documentation

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Administering Internal Operations: Managing the Agency

ADMINISTRATIVE FILES OF THE DIRECTOR

Disposition: PERMANENT RECORD.

ANNUAL REPORTS

Disposition: PERMANENT RECORD.

INFORMATIONAL AND PROMOTIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

NEWS RELEASES

Disposition: PERMANENT RECORD.

COMMITTEE/TASK FORCE MINUTES/REPORTS

Disposition: PERMANENT RECORD.

HISTORICAL RECORDS

Disposition: PERMANENT RECORD.

Board Appointment Letters

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term expires.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Program Weekly/Monthly/Quarterly Reports

Disposition: Temporary Record. Retain 1 year or until information is incorporated into the agency's annual report.

Records documenting the participation of the agency in library related events, conferences, or professional organization activities

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting surveys, studies, or related activities for library operations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Mailing Lists

Disposition: Temporary Record. Retain until superseded.

Records documenting the implementation of the agency's approved RDA (copies of transmittal forms to the Archives and the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copies of RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

Computer systems documentation (hardware/ software manuals and diskettes, warranties, records of access/authorities, file naming conventions, Y2K records)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies

Disposition: Temporary Record. Retain 3 years.

Administering Internal Operations: Managing Finances

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers, and funds deposited outside the state treasury

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business either within or outside the state, and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. Original Bid Records Maintained in the Purchasing Office of the Agency for Contracts over \$7500
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.
- b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

Audit Reports

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

Administering Internal Operations: Managing Human Resources

Job Recruitment Materials

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Application Materials

Disposition: Temporary Record. Retain 1 year.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's work history - generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Division/Section Personnel Files

Disposition: Temporary Record. Retain until separation of the employee from the agency.

Records documenting employee disciplinary actions (reprimands, demotions, transfers, terminations, appeals, and administrative hearings)

Disposition: Temporary Record. Retain 3 years following decision.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Employee Flexible Benefits Plan Files

- a. General information

Disposition: Temporary Record. Retain until superseded.

- b. Other (applications, correspondence)

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

State Employee Injury Compensation Trust Fund Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Employee Administrative Hearing Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Equal Employment Opportunity Commission Case Files

Disposition: Temporary Record. Retain 3 years.

Records documenting agency provision of training and professional development

Disposition: Temporary Record. Retain 3 years.

Administering Internal Operations: Managing Properties, Facilities, and Resources**Real Property Records**

Disposition: Temporary Record. Retain for the life of the property.

SEMIANNUAL INVENTORY LISTS

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-8[1]).

Transfer of State Property Forms (SD-1) (Agency copies)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Facilities/Building Security Records (including visitor logs)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Vehicle and Equipment Maintenance Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the property is sold or replaced.

Motor Pool Vehicle Use Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Building Maintenance Work Orders

Disposition: Temporary Record. Retain 1 year.

Approval of Records Disposition Authority (RDA)

By signing this agreement, the Alabama Public Library Service acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Alabama Public Library Service will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, submitting an annual report on records management activities to the State Records Commission in July of each year, and ensuring the regular implementation of the agency's approved RDA.
- Permanent records in the Alabama Public Library Service's custody will be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Alabama Public Library Service agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the agency and to inspect records destruction documentation. Government Records Division archivists are available to train the staff in RDA implementation and otherwise assist the commission in implementing its records management program.

The State Records Commission adopted this Records Disposition Authority on July 26, 2001.

Edwin C. Bridges, Chairman
State Records Commission

Date

Receipt acknowledged:

Lamar Veatch, Director
Alabama Public Library Service

Date